

The definition of many data elements has substantially changed

Read instructions before attempting to complete this form.

FY 2003 LDRD DATA COLLECTION FORM

(fill in all blanks: O = none; NA = not available - return to Judy Reedy, OTD/201, by 12/15/03)

ALD:

PROPOSAL # - WORK PROJECT #:

PROJECT TITLE:

PRINCIPAL INVESTIGATOR(S):

1. Subject Category (6-digit code number from OSTI's *International Energy Subject Categories and Scope* available at LDRD website -- <http://www.anl.gov/LDRD/osticode.html>):
Primary _____ Secondary _____ Tertiary _____
2. Did or will any of the research performed under this LDRD project continue (with or without interruption) under other auspices (such as redirected or new program funds, work-for-others, CRADAs, etc.)? Yes ☐ No ☐

If the answer to number 2 above is yes, please provide the following information:

New money? Yes ☐ No ☐ and/or Redirected Program money? Yes ☐ No ☐

Source(s) of money? _____ (list primary source first)

[Example: DoD, NSF, NASA, AMOCO, DOE (for DOE, also provide the office, i.e., DOE-SC, DE-FE, etc.)]

WP# _____ B&R Code _____ WFO _____ CRADA _____

Total number (all years) of proposals submitted for follow-on funding (other than for LDRD funding):	FY2003	FY2002	FY2001
	3. Number of refereed publications actually published in the respective fiscal year and derived in whole or in part from work supported by LDRD funded projects in any year:		
4. Number of students and postdocs supported in full or in part by this LDRD project during each respective fiscal year. Do not use fractions, and do not include those supported by follow-on funds):			
5. Number of new, permanent, full-time, technical staff hired within each respective fiscal year as a direct result of full or partial LDRD support (no fractions and count each new hire only once):			
6. Number of (non-publication) LDRD-derived copyrights granted within each respective fiscal year and arising in whole or in part both directly from any year of this LDRD project and from any follow-on efforts:			
7. Number of LDRD-derived invention disclosures filed with the Laboratory's Office of Technology Transfer within each respective fiscal year arising in whole or in part both directly from any year of this LDRD project and from any follow-on efforts:			
8. Number of LDRD-derived patents issued/granted within each respective fiscal year arising from any year of both this LDRD project directly and from any follow-on efforts:			
9. Attach a separate sheet listing all review presentations (include name and date of review, title of presentation, and names of presenters). If none, check the box at the right.	<input type="checkbox"/>		
10. Indicate what percentage relevance this project has to defense versus non-defense applications. (e.g., all defense: 100%; dual use: between 10% and 90%; no defense: 0%).	%		
11. Awards !NEW DATA ELEMENT! Attach a separate sheet listing all awards or other distinct forms of recognition (from bodies external to Argonne) received during each respective fiscal year that are attributable in whole or in part to an LDRD project funded in any year.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
12. Remarks (add extra sheets if more space is needed)			

INSTRUCTIONS FOR FY 2003 LDRD DATA COLLECTION FORM

The title of each project for which data are required is preprinted on a data collection form, along with its project tracking number and work project cost code. The principal investigator is also listed. This information is supplied to help you identify the projects in question.

[NOTE: Previously-submitted survey forms are attached to the FY2003 data collection forms for those projects that continued into 2003 after having started in 2001 or 2002. These are for your information only. The FY 2003 data collection form requires an entry for each of the data elements from 1 through 10 according to the instructions below.

Major changes from prior years in the definition of some elements have been made and revised data must now be collected for two prior years as well.]

Data Elements

1. Subject Categories: The OSTI publication "International Energy Subject Categories and Scope" provides a means to specify the topics of research. One primary six-digit code taken from this publication must be assigned to each project. Since many projects overlap more than one area, you may also assign a secondary and tertiary six-digit code to projects as warranted. The codes are available on the LDRD home page at <http://www.anl.gov/LDRD/osticode.html>. Projects active in prior years should enter the same codes as previously unless the work scope has changed significantly.
2. Follow-on Effort: If you know that all or part of the research done under this LDRD project will continue (with or without interruption) under other auspices (such as redirected or new program funds, work-for-others, CRADAs, etc., but not including additional LDRD funding), indicate this by checking "yes" and providing the following pertinent information: Will the follow-on funding be new money or money already allocated to Argonne that will be redirected to your project? Provide the source(s) of all support (if more than one source, list the principal source first). Provide the appropriate tracking identification (e.g., FWP, B&R code, WFO, CRADA) numbers. If, to date, no follow-on support has been obtained, check "No." (The LDRD office must be notified if subsequent to this data call such support is received.) If, for some reason, you cannot determine if a follow-on effort will occur, check "No" but indicate in the remarks section at the bottom of the form what prevented you from knowing whether or not follow-on funding will occur (e.g., "proposals to be submitted," "sponsor has not acted," etc.).

Number of Proposals Submitted: Enter in the box provided the total number of written proposals based on results of this LDRD project (including prior years, if any) that have been submitted to potential sponsors of follow-on work (but not proposals for future LDRD support).

3. Publications: Enter the number of LDRD-derived refereed publications actually published during each of the fiscal years 2001, 2002, 2003. Enter "0" (zero) for none. Enter "NA" if you cannot access the information, and note in the remarks section what prevents you from identifying the publications. **[What's changed:** (1) previously we entered cumulative totals, now we need a separate number for each year, (2) previously we included papers in preparation or in press, now we only want those actually published from October 1 through September 30 of each respective year, (3) previously we were restricted only to those publications based solely on the LDRD project, now we expand the definition to include publications derived in whole or in part from LDRD projects funded in any year.]
4. Students and/or Postdocs: Enter the number of students and postdocs (combined total) supported by the LDRD project during all or part of the respective fiscal year. Do not include any supported by follow-on funds. Enter "0" (zero) if no students or postdocs were supported. Enter "NA" if you

cannot determine these data and explain the difficulty in the remarks section. **[What's changed:** (1) previously we entered cumulative totals for all years counting the same person only once, now we enter the number supported in each respective year without regard to whether the same person was supported in other years, (2) previously we accounted for partial support using fractions of an FTE, now we count number of people in whole numbers, whether partially or fully supported, (3) previously we limited the count to those receiving "direct" support, now we include indirect situations such as non-employee students and postdocs at collaborating universities receiving LDRD funds.]

5. **New Staff:** Enter the number of new, permanent, full-time, technical staff hired during each respective fiscal year as a result of LDRD support. (Note: we are counting "hiring events," not people.) Do not include hires due to follow-on non-LDRD supported projects. New hires need not have been fully supported by the LDRD project to be counted, so long as their being hired can be attributed to the project's existence. Count each new hire as one regardless of partial support (no fractions please). Enter "0" (zero) for no new hires. Enter "NA" if new hires cannot be determined and explain difficulty in remarks section. **[What's changed:** (1) previously we entered cumulative totals for all years, now we are counting hiring events occurring from October 1 through September 30 of each respective fiscal year.]
6. **Copyrights:** Enter the number of LDRD-derived copyrights (other than for publications) that were granted within each respective fiscal year and were derived in whole or in part **BOTH** directly from the LDRD project funded in any year **AND** from any follow-on efforts to date. (Usually such non-publication copyrights pertain to computer software, circuit designs, etc.) Enter "0" (zero) for no copyrights. Enter "NA" if information is unavailable and explain difficulty in accessing it in the remarks section. **[What's changed:** (1) previously we entered cumulative totals for all years, now we are entering separate numbers corresponding to the number granted from October 1 through September 30 of each respective fiscal year, (2) previously we assumed the copyright originated solely from the LDRD and follow-on efforts, now we are including those that may be only partially attributable to the LDRD and follow-on work.]
7. **Invention Disclosures:** Enter the number of LDRD-derived invention disclosures filed within each respective fiscal year with the Laboratory's Office of Technology Transfer (OTT) that were derived in whole or in part **BOTH** from any year of the LDRD project directly **AND** from any follow-on efforts to date. Enter "0" (zero) for none. Enter "NA" if information is not available. (We suggest the invention database maintained by OTT may help to identify LDRD-related cases.) **[What's changed:** (1) previously we entered cumulative totals for all years, now we are entering separate numbers corresponding to the number filed from October 1 through September 30 of each respective fiscal year, (2) previously we assumed the invention disclosure originated solely from the LDRD and follow-on efforts, now we are including those that may be only partially attributable to the LDRD and follow-on work.]
8. **Patents:** Enter the number of LDRD-derived patents issued/granted within each respective fiscal year and derived in whole or in part from **BOTH** any year of the LDRD project directly **AND** from any follow-on efforts. Enter "0" (zero) for none. Enter "NA" if information is not available to you. (Please check Laboratory patent records before assuming the information is unavailable.) **[What's changed:** (1) previously we counted patent applications whether or not granted, now we are restricted to count only those actually issued/granted from October 1 through September 30 of each respective fiscal year, (2) previously we entered cumulative totals for all years, now we are entering separate numbers corresponding to the number granted in each respective year, (3) previously we assumed that the invention corresponding to the patent originated solely from the LDRD and follow-on efforts, now we are including those that may be only partially attributable to the LDRD and follow-on work.]
9. **Review Presentations:** Attach a separate sheet listing all presentations to review committees that included a description of the work related to this LDRD project. Review events listed on prior-year data collection forms need not be repeated here. These may have occurred during or after the

project's active period. The LDRD-related work may have been only part of the presentation. The fact that LDRD support had been involved may not have been explicitly stated in the presentation. The presenter(s) may or may not have been the LDRD principal investigator(s). First list presentations to University of Chicago review committees. Second, list those given to DOE impaneled program review committees. Last, list those given to ANL division- or ALD-chartered and other **external** committees. For each presentation, give the committee name, the presenter's name and division, and the date of the presentation. If no such presentation has occurred, place a check mark in the box at the right of data element 9. Do not include internal presentations made solely to Argonne managers or other employees.

10. Defense versus Non-defense Relevance: If your project's topic focuses almost wholly on actual or potential applications to national defense (i.e., likely agencies to provide follow-on funding are DOD, NNSA, DHS, etc.) enter 100%. If the work is primarily relevant to non-defense applications (e.g., likely to be funded by NSF, NIH, EPA, DOE/SC, etc.) enter 0%. If both apply, make a judgment of the percent defense relevance between 10% and 90%. Projects relevant to the missions of the Department of Homeland Security are categorized as "defense-relevant," **but indicate in the remarks section below if relevance to homeland security is the ONLY reason for your indication of relevance to defense.**
11. Awards: **(New data section for FY 2003!)** On a separate sheet, list any awards or other distinct forms of recognition (from bodies external to Argonne) received during each respective fiscal year that are attributable in whole or in part to an LDRD project funded in any year. Include with each listing the fiscal year in which it was received. (To determine the fiscal year, use the date corresponding to when the actual award is received, not the date it is announced to you or to the public.) Do not include those otherwise valid forms of "recognition," such as an invitation to speak at a conference, if they are quite numerous, and widely and routinely conferred. For each award, provide a short (150 words or less) paragraph describing the significance of the award and the role LDRD played in achieving it. If no such awards were received in a particular fiscal year, place a check mark in the corresponding box to the right of data element 11 on the form.
12. Remarks: Explain here why data requested above is not accessible. Also use this space to indicate if DHS relevance is the sole reason to assign some defense relevance to your project. (Add extra sheets if necessary)